Guide to Results-Oriented Project Planning and Monitoring

Contents

Introduction and overview

The DAAD relies on results-oriented monitoring (ROM) to ensure that the goals of funding programmes and projects are achieved. As a higher education institution applying for funding programmes with ROM, you need to outline the intended goals of your project and the ways in which these are to be achieved. Further information about ROM and its benefits for higher education institutions and the DAAD is provided in this video (in German).

When drawing up your project application, you should read this Guide to ROM before completing the project planning overview and the project description.

A short introduction with basic information about ROM is followed by a presentation of the most important steps that enable you to plan your project in a results-oriented manner. The results framework (in German: Wirkungsgefüge) and the catalogue of indicators for the funding programme serve as a basis for this. They can be found in the second part of this guide.

Please watch this video (in German) to learn more about applications with results-oriented project planning.

The answers to the most important questions about ROM can be found in our FAQ on results-oriented monitoring (in German).

1. Results framework and catalogue of indicators as a basis for results-oriented project planning

The funding programme's results framework (see 3) and the catalogue of indicators (see 4) form the basis for your results-oriented project planning. The purpose of a results framework is to **visualise the funding logic** of a programme and to present the goals the DAAD aims to achieve with the programme. The catalogue of indicators clarifies how the DAAD reviews the effectiveness of the programme.
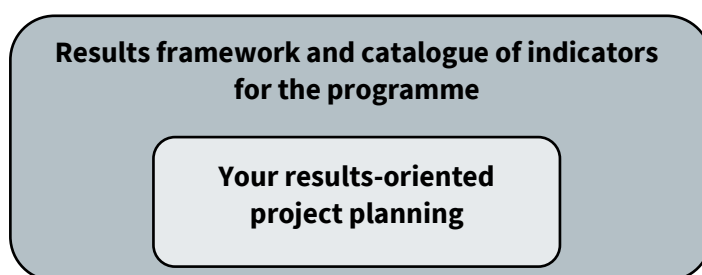
1.1 Levels of the results framework

The results framework comprises five result levels:
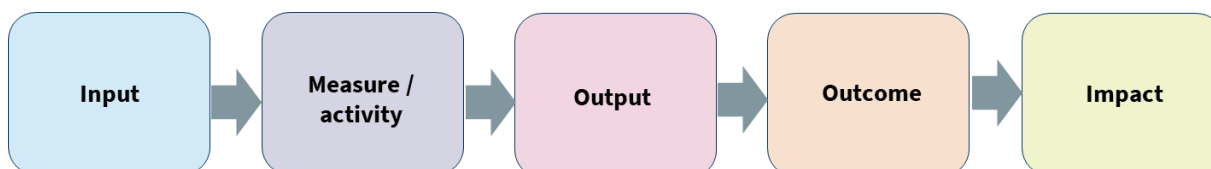
Longer-term effects (impacts)
The impacts describe the intended direct or indirect longer-term effects of a programme.

Objectives (outcomes)
The short and medium-term effects (= programme objectives) the DAAD would like to achieve with its funding programme are defined on the outcome level. The programme objectives result from using the outputs and they contribute to achieving the impacts.

Results (outputs)
The intended results, services and changes (outputs) that result from the measures/activities and that are intermediate steps on the way towards reaching the programme objectives (outcomes) are outlined on the output level.

Measures/activities
The measures/activities as of the results framework correspond to the measures in a programme that are eligible for funding (see funding framework). The programme results (outputs) are achieved by performing the measures/activities.

Inputs
Input is required to realise measures/activities. Inputs include funding from the DAAD, as well as human, professional and infrastructural resources of the grant recipient, the forwarding recipient and any additional parties.

1.2 Catalogue of indicators

The inputs, measures/activities, results (outputs) and short and medium-term effects or objectives (outcomes) listed in the results framework are assigned to programme indicators, which are listed in the catalogue of indicators (see 4). The DAAD reviews the effectiveness of its funding programmes by enquiring about the programme indicators in a structured manner in the annual substantive reports. The results also form the basis for the programme steering.

Note:

An indicator is a (quantitative or qualitative) variable or factor that constitutes a simple and reliable instrument for measuring and reflecting the changes achieved through the measure.

2. How do I plan my project in a results-oriented manner?

In **results-oriented project planning** you need to start with the intended project objectives (outcomes), then plan the corresponding project results (outputs) and finally the measures/activities.

2.1 Completing the project planning overview

You present your results-oriented project plan in the **project planning overview**. This tabular project planning summary illustrates the results logic of your project. It is important that you provide a **short and clear overview** by indicating specific project objectives (outcomes), project results (output) and measures/activities[1]. You are welcome to use an <u>example of a completed project planning overview</u> (in German) for guidance.
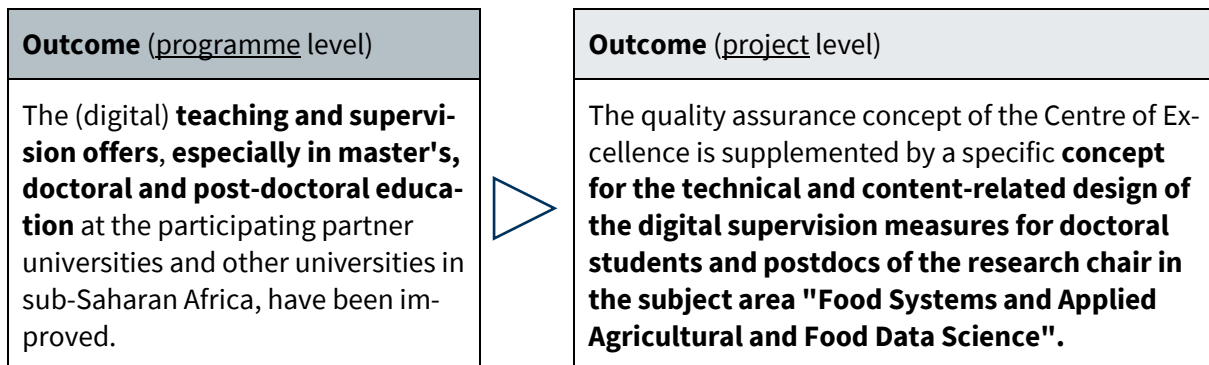
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[1] You do not need to specify any impacts for your project.

When planning your project, you are free to choose the wording for your results (outputs) and objectives (outcomes) and the ways in which you plan to achieve your goals. The project objectives must correspond to the programme objectives indicated in the results framework.

Please proceed as follows when drawing up your results-oriented project plan:
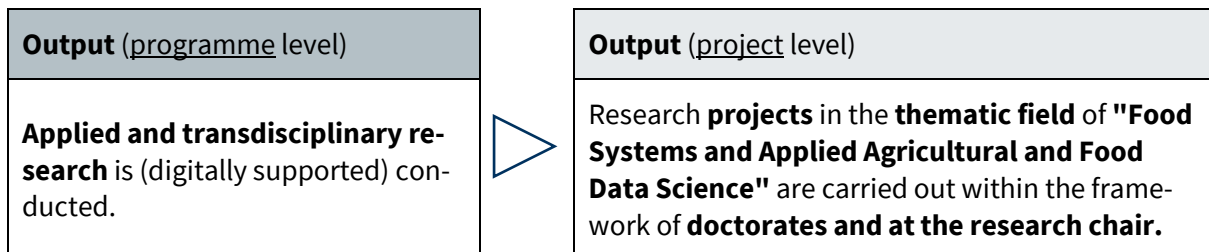
a) The first step is to define your **project objectives (outcomes).** You need to specify your intended project objectives based on the programme objectives (indicated in the results framework).

Example 1: Specifying the project objective (outcome)

Outcome (programme level)	Outcome (project level)
The (digital) **teaching and supervision offers**, **especially in master's, doctoral and post-doctoral education** at the participating partner universities and other universities in sub-Saharan Africa, have been improved.	The quality assurance concept of the Centre of Excellence is supplemented by a specific **concept for the technical and content-related design of the digital supervision measures for doctoral students and postdocs of the research chair in the subject area "Food Systems and Applied Agricultural and Food Data Science".**

b) The second step is to define your **project results (outputs).** Intended outputs are visible and quantifiable. Based on the results (outputs) on the programme level you need to specify your intended project results (outputs) (e.g. which higher education institutions, which study programme, etc.).

Example 2: Specifying the project result (output)

Output (programme level)	Output (project level)
Applied and transdisciplinary research is (digitally supported) conducted.	Research **projects** in the **thematic field** of **"Food Systems and Applied Agricultural and Food Data Science"** are carried out within the framework of **doctorates and at the research chair.**

c) In the third step, you should ideally determine only one **meaningful indicator** for each project-specific result (output) and objective (outcome), respectively. However, to be able to establish that an objective has been achieved, it may be necessary to specify more than one indicator (e.g. number of courses and number of participants).

- **Specification:**
  You may particularise programme indicators that apply to your project to match your purposes. You can also name your own indicators if needed.
  Project indicators should only be specified for key aspects of the outputs and outcomes of the project.
- **Benchmarks**:
  Specify for each indicator, how much should be deployed, implemented and achieved in the project within a specific time frame (**benchmarks**). This is vital to be able to check if objectives have been achieved. To determine benchmarks, you can refer to experience-based values from similar projects, references from your higher education institution or speak to partners and experts.

Please make sure that the indicators for your project fulfil the **SMART criteria**:

Specific: precise and unambiguous in terms of quality and quantity
                        (Who? What? How?)
Measurable: can be measured with reasonable effort and at reasonable cost
Attainable: Goals are realistically achievable within the specified parameters
Relevant: meaningful in terms of the intended changes
Time-Bound: has a defined timeframe

Example 1: Specifying/benchmarking indicators for project objectives (outcomes)

Outcome (programme level)	**Outcome** (project level)
The (digital) **teaching and supervision offers**, **especially in master's, doctoral and post-doctoral education** at the participating partner universities and other universities in sub-Saharan Africa, have been improved.	The quality assurance concept of the Centre of Excellence is supplemented by a specific concept for **the technical and content-related design of the digital supervision measures for doctoral students and postdocs of the research chair in the subject area "Food Systems and Applied Agricultural and Food Data Science".**
Indicator (programme level)	**Indicator** (project level)
Specific **contributions of the research chair** to the standard procedures of the Centre of Excellence in the **quality assurance of teaching as well as the supervision of doctoral students and postdocs** (since the beginning of funding) differentiated by • **Areas** for which standard quality assurance procedures have been introduced • **Newly developed/revised** • **Status of implementation**	By the end of **2024**, a specific concept has been newly developed for **the subject-related content of the digital supervision measures for doctoral students and postdocs of the research chair in the subject area of "Food Systems and Applied Agricultural and Food Data Science".** The supervision concept will be **applied** on a **pilot basis with accompanying evaluation from 2025**. The supervision concept is **established** from **2026** and regularly **quality assured.**

Example 2: Specifying/benchmarking indicators for project results (outputs)

Output (programme level)	**Output** (project level)
Contacts with relevant **African, German and international stakeholders** from the field of politics, business, civil society as well as academia and science (especially Centres of African Excellence) have been established or consolidated.	The **research chair** is establishing **new contacts** with relevant **actors in the field of "Food Systems and Applied Agricultural and Food Data Science".**
Indicator (programme level)	**Indicator** (project level)

| Number of new **contacts** established between staff of the research chair and **actors from politics, business, civil society and academia** (esp. Centres of Excellence Africa) (in the reporting year), differentiated according to

• **Area** (science/research (incl. federal departmental research institutes), business, civil society, public sector/politics) | ▷ | By the **end of 2024**, contacts have been established with relevant departments in the **national ministries** responsible for health and economy/food security on the basis of concrete **cooperation projects.**

Contacts have been established with **NGOs X and Y** relevant to the field **of "Food Systems and Applied Agricultural and Food Data Science"** for further **cooperation** (especially for high-profile events to present the applicable research results).

At least **1 joint event** was realised by the **end of 2025.** |

d) The fourth step is to name the **information sources** and **methods** required for collecting the data for measuring the indicators. Please refer to the Example of a project planning summary . (in German).

2.2 Completing the project description

In the project description you need to outline your project with regard to its specialised content, as well as outlining the measures/activities in relation to your own project's objectives. You should take the results logic, programme objectives and selection criteria into account here. You also need to draw up a schedule for your project.

> Checklist regarding results-oriented project planning as a selection criterion:
> ✓ Clear relationship between the **project** objectives (outcomes) and the **project** results (outputs)
> ✓ Clear connection between the **project** and the **programme** objectives (outcomes) and the **programme** results (outputs)
> ✓ The project description clarifies comprehensively which measures/activities are to be realised over the course of time, and how these contribute to the **project**-specific results (outputs) and objectives (outcomes)
> ✓ The **project**-specific indicators meet the SMART criteria

3. Results framework for the funding programme "Centre of Excellence for Sustainable and Resilient Food Systems and Applied Agricultural and Food Data Science (Line B: Implementation Research Chair and Doctoral and postdoctoral funding for German PhD/Postdoc candidates)"

DAAD Deutscher Akademischer Austauschdienst
German Academic Exchange Service

Input

Input from the DAAD
(e.g. expenditure for staff, material and for funded individuals, covered by the grant)

Input from the higher education institutions
(grant recipients: e.g. own funds, scientific expertise, infrastructure and permanent staff)

Input from the partner higher education institutions
(by forwarding recipient, e.g. own funds, scientific expertise, infrastructure, and permanent staff)

Input from other partners
(e.g. own funds, scientific expertise - e.g. NRF, DFG, World Bank, GIZ, Fraunhofer, SASSCAL, etc.

The German version of this annex shall be legally binding.

Measure/activity

Measures eligible for funding 1:
A research chair is established focusing on the topic "Food systems including approaches from the field of data science" (among others, the following activities are included - see below).

Students, doctoral candidates and their qualification works are being supervised.

(Digital) Lectures and events (including subject-specific workshops and conferences) are held.

Research projects are designed and initiated.

(Digital) networking activities in the area of research are being expanded.

Measures eligible for funding 2:
PhD candidates, (junior) scientists and university lecturers from the German university conduct teaching and/or research stays at the African partner universities.

Output
(results, services, changes)

Students, doctoral candidates and (junior) scientists receive professional supervision and have attended lectures/ seminars/workshops conducted by the research chair.

Applied and transdisciplinary research and research projects (incl. doctorates) have been (digitally supported) conducted.

Contacts with relevant African, German and international stakeholders from the field of politics, business, civil society as well as academia and science (especially Centres of African Excellence) have been established or consolidated.

PhD candidates and (junior) scientists as well as university lecturers have conducted teaching and/or research stays.

Outcome
(programme objectives, direct short-term and long-term effects)

Students, doctoral candidates and (junior) scientists as well as university lecturers are further qualified and have gained international and intercultural teaching, research and/or learning experience.

PhD-students, (junior) scientists and university lecturers are (further) trained in the field of applied and transdisciplinary research.

The (digital) teaching and supervision offers, especially in master's, doctoral and post-doctoral education at the participating partner universities and other universities in sub-Saharan Africa, have been improved.

The results of the applied transdisciplinary research projects are accessible to a pan-African and international specialized public.

The research chair works (digitally supported) in networks with relevant African, German and international stakeholders from politics, business, civil society and academia and science.

Impact
(longer-term effects)

The programme contributes to enable the (further) trained persons to work in key academic and non-academic positions and as multipliers.

The programme contributes to a transfer of current research results to politics, business, civil society as well as academia and science.

The programme contributes to strengthen human and structural research capacities of the universities participating in the centre's network.

The programme contributes towards the competitiveness and sustainability of the Centres of African Excellence and actively supports relevant transfer cycles.

The programme contributes towards the implementation of the German government's guidelines* regarding its Africa-related policies and the achievement of the SDGs.

The programme contributes towards the development of efficient, internationally networking and innovation- and research-oriented universities.

The programme contributes to strengthen applied/ practice-oriented, inter- and transdisciplinary international research collaboration.

*In particular, the BMBF's Future Research and Innovation Strategy, whose core tasks include climate protection, climate adaptation, food security and the preservation of biodiversity.

4. Catalogue of indicators for the funding programme "Centre of Excellence for Sustainable and Resilient Food Systems and Applied Agricultural and Food Data Science (Line B: Implementation Research Chair and Doctoral and postdoctoral funding for German PhD/Postdoc candidates)"

The following **programme** indicators were set for the Subject-related University Partnerships programme, for which the DAAD requests data for the annual substantive reporting. This data supports the DAAD in its programme management and accountability.

Measures/activities and corresponding programme indicators

Measure/activity	Indicator
Measures eligible for funding 1: A research chair is established focusing on the topic "Food systems including approaches from the field of data science" (among others, the following activities are included - see below).	**Newly established research chair (since start of funding), differentiated by** • Designation • Research field/s • Implementation status (conception phase, in advertisement/application phase, in selection/appointment procedure, call granted, call accepted/**research chair** established) **Qualitative description of the appeal process (since the start of funding)** **Number of persons funded (in the reporting year), differentiated according to** • Gender • Country of citizenship • Status: Scientists and university teachers (incl. postdocs) • New funding in the reporting year
Students, doctoral candidates and their qualification works are being supervised.	**Number of qualification theses supervised by the research chair (since the start of funding), differentiated by** • Name of the person cared for • (Working) title of the qualification work • Gender • Country of the home university • Degree sought (e.g. Bachelor, Master) • Type (basic research, applied research) • Study progress (e.g. studies started, studies advanced)

Measure/activity	Indicator
(Digital) Lectures and events (including subject-specific workshops and conferences) are held.	**Number of (digital) <u>events</u> funded by the DAAD grant (in the reporting year), differentiated by** • Title/Topic • Venue/Country • Duration in days • Format (e.g. workshops/seminars, symposia/meetings/conferences, excursions) • Degree of digitisation (face-to-face format, blended learning or hybrid format, online format) • Involved in DIGI-FACE? • Transfer character • Networking event (yes/no) • Target group(s) (e.g. teachers, students) • Involvement of non-university actors according to different areas (e.g. academia/research, business, civil society) • Training character • Type of qualification (e.g. subject-specific, interdisciplinary, didactic)
	Number of (digital) courses held as part of the <u>teaching load</u> of the research chair (in the reporting year), differentiated by • Title/Topic • Semester hours per week • Degree of digitalisation (face-to-face format, blended learning or hybrid format, online format) • Integrated into DIGI-FACE? • If possible: target group/s (e.g. Bachelor students, Master students, PhD)
	Qualitative description of the (digital) courses held with a focus on the content taught (since the start of funding).
Research projects are designed and initiated.	**Number of research projects realised <u>by the research chair</u> with funds from the research chair (since the beginning of funding), differentiated according to** • Title/ Topic • Lead for the project (research chair holder, other research chair staff) • Type (basic research, applied research) • Status of implementation (in conception, in implementation) • Partners involved
	Number of research projects <u>supervised/coordinated</u> with funds from the research chair (since the start of funding), differentiated by • Title/ Topic • Amount of funds spent

Measure/activity	Indicator
	• Duration/term in months • Dissertation (yes/no) • Status of implementation (in conception, in implementation) • Involved partners
(Digital) networking activities in the area of research are being expanded.	**Qualitative description of the (digital) networking activities with a focus on the status of research networking and its added value for achieving the programme objectives (since the start of funding).**
Measures eligible for funding 2: PhD candidates, (junior) scientists and university lecturers from the German university conduct teaching and/or research stays at the African partner universities.	**Number of (digital) events funded by the DAAD grant (in the reporting year), differentiated by** • Gender • Country of citizenship • Status (doctoral student, researcher and university teacher (incl. post-docs)) • Type of funding (research, teaching) • New funding in the reporting year
	Qualitative description of the selection process for allocation of post-doc scholarships (since funding started)
	Qualitative description of the selection process for allocation of doctoral scholarships (since funding started)

Programme results (outputs) and associated programme indicators

Output	Indicator
Students, doctoral candidates and (junior) scientists receive professional supervision and have attended lectures/ seminars/workshops conducted by the research chair.	**Number of participants in the (digital) courses conducted within the framework of the teaching load (in the reporting year), differentiated by** • Gender • Country of citizenship • Status (e.g. students at Master's level, doctoral students, post-doctoral students)
	Number of participants in the (digital) events financed by the DAAD grant (in the year under review), differentiated by • Gender (m/f/d) • Origin (participants from host country, participants from other African countries, participants from countries outside Africa)

Output	Indicator
	• Type (internal, belonging to the project / external, not belonging to the project)
Applied and transdisciplinary research is (digitally supported) conducted.	**Number of research projects carried out <u>by the research chair</u> with funds from the chair (since the beginning of funding), differentiated according to** • Title/ Topic • Lead for the project (chair holder, other chair staff) • Type (basic research, applied research) • Status of implementation (findings available, findings being implemented or applied) • Involved partners
	Number of research projects <u>supervised/coordinated</u> with funds from the research chair (since the beginning of funding), differentiated according to • Title/ Topic • Amount of funds spent • Duration/term in months • Dissertation (yes/no) • Status of implementation (findings available, findings being implemented or applied) • Involved partners
Contacts with relevant African, German and international stakeholders from the field of politics, business, civil society as well as academia and science (especially Centres of African Excellence) have been established or consolidated.	**Number of contacts newly established between staff of the research chair and actors from politics, business, civil society and science (esp. Africa Centres of Excellence) (note: partners/projects not funded within the framework of the new Centre of Excellence in Food Systems and Data Science) (in the reporting year), differentiated according to** • Sector (e.g. science/research (incl. federal departmental research institutes), business, civil society, public sector/politics)
	Number of contacts consolidated between research chair staff and employers and actors from politics, business, civil society and academia (since the start of funding), differentiated by • Sector (e.g. science/research (incl. federal departmental research institutes), business, civil society, public sector/politics)
	Number of new contacts established between staff of the research chair and federal departmental research institutes (since the start of funding), differentiated according to • Name of the departmental research institute

Output	Indicator
	Qualitative description of the added value that the contacts have for the research chair and, if applicable, naming of other areas from which contacts have been gained (since the beginning of funding).
PhD candidates and (junior) scientists as well as university lecturers have conducted teaching and/or research stays.	**Qualitative description of the teaching and/or research visits carried out by (junior) scientist and university lecturers (in the reporting year).**

Programme objectives (outcomes) and allocated programme indicators

Outcome	Indicator
Students, doctoral candidates and (junior) scientists as well as university lecturers are further qualified and have gained international and intercultural teaching, research and/or learning experience.	**Qualitative description of the subject-related as well as international and intercultural competences acquired by students, doctoral candidates and (junior) researchers as well as university lecturers within the framework of the research chair's (teaching) events (since the beginning of funding).**
PhD-students, (junior) scientists and university lecturers are (further) trained in the field of applied and transdisciplinary research.	**Qualitative description of the qualifications acquired by doctoral researchers and (junior) researchers as well as university lecturers within the framework of the (teaching) events of the research chair in the area of application-oriented and transdisciplinary research (since the beginning of funding).**
The (digital) teaching and supervision offers, especially in master's, doctoral and post-doctoral education at the participating partner universities and other universities in sub-Saharan Africa, have been improved.	**Specific contributions of the research chair to the standard procedures of the Centre of Excellence in the quality assurance of teaching as well as the supervision of doctoral students and postdocs (since the beginning of funding) differentiated according to** • Areas for which standard procedures for quality assurance have been introduced (e.g. competence of teaching staff or supervisors, didactic-methodical design of supervision, technical-content design of supervision measures, infrastructural equipment). • Newly developed or revised • Implementation status (e.g. conception/revision started, conception/revision completed)

Outcome	Indicator
	Qualitative description of the improvement in supervision services, particularly in the training of doctoral students and postdocs (also in relation to digitisation) and naming of the other partner universities involved Universities in sub-Saharan Africa (since the start of funding)
The results of the applied transdisciplinary research projects are accessible to a pan-African and international specialized public.	**Number of publications of the research chair holder (in the reporting year), differentiated by** • Author(s) • Title • Type of publication (e.g. article in peer-reviewed journal, contribution to scientific anthology, incl. conference proceedings, scientific monograph) • Originated in the context of a doctorate funded by the programme (yes/no) • Published in an open access medium (yes/no/planned)
	Number of active participations of the research chair holder in scientific conferences (in the reporting year)
	Number of scientific awards, prizes, etc. (in the reporting year), differentiated by • Type/designation of the prize
	Qualitative description of the research projects realised <u>by the research chair</u> with funds from the research chair, their social relevance (including application relevance and transdisciplinarity) and, if applicable, the digital instruments with the support of which the research projects are or were realised (since the beginning of funding).
	Qualitative description of the research projects <u>supervised/coordinated</u> with funds from the research chair, their social relevance (including application relevance and transdisciplinarity) and, if applicable, the digital instruments with the support of which the research projects are/were realised (since the beginning of funding).
The research chair works (digitally supported) in networks with relevant African, German and international stakeholders from politics, business, civil society and academia and science.	**Qualitative description of the specific activities of the research chair that specifically serve networking with relevant African, German and international stakeholders from politics, business, civil society or academia (in the reporting year).**